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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q64528

Kaoru UCHIDA

Appln. No.: 09/854,666

Group Art Unit: 2134

Confirmation No.: 1139

Examiner: Ellen C. TRAN

Filed: May 15, 2001

For: IDENTIFICATION SYSTEM AND METHOD FOR AUTHENTICATING USER
TRANSACTION REQUESTS FROM END TERMINALS

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §§ 1.97 and 1.98

MAIL STOP AMENDMENT

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. Japanese Patent Application Publication No. 2002-501700, published January 15, 2002.
2. Japanese Patent Application Publication No. 11-98252, published April 9, 1999.
3. Japanese Patent Application Publication No. 5-347617, published December 27, 1993.
4. Japanese Patent Application Publication No. 10-117173, published May 6, 1998.

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5. Japanese Patent Application Publication No. 11-338947, published December 10, 1999 (previously cited by the Examiner on the PTO-892 attached to the Non-Final Office Action dated October 1, 2004).
6. Japanese Patent Application Publication No. 2000-92046, published March 31, 2000.
7. Japanese Patent Application Publication No. 11-339045, published December 10, 1999.
8. Japanese Patent Application Publication No. 11-73569, published March 16, 1999.

One copy of each of the listed documents is submitted herewith, except for those indicated as previously cited.

The present Information Disclosure Statement is being filed after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution in the application (whichever is earlier), and therefore Applicant is filing concurrently herewith a Statement Under 37 C.F.R. § 1.97(e). No fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses herewith a copy of a corresponding Japanese Office Action, dated August 2, 2006, and an English translation of the pertinent portions thereof which cites such documents and indicates the degree for relevance found by the foreign office.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

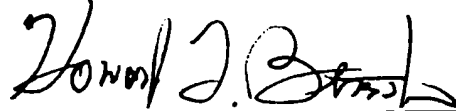
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The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Howard L. Bernstein", written over a horizontal line.

Howard L. Bernstein
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WASHINGTON OFFICE

23373

CUSTOMER NUMBER

Date: October 13, 2006

Substitute for Form 1449 A & B/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

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of

1

Complete if Known

Application Number	09/854,666
Confirmation Number	1139
Filing Date	May 15, 2001
First Named Inventor	Kaoru UCHIDA
Art Unit	2134
Examiner Name	Ellen C. TRAN
Attorney Docket Number	Q64528

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code ² (if known)		
		US			
		US			
		US			
		US			
		US			
		US			
		US			
		US			
		US			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)			
		JP	2002-501700	A	01-15-2002		
		JP	11-98252	A	04-09-1999		
		JP	5-347617	A	12-27-1993		
		JP	10-117173	A	05-06-1998		
		JP	2000-92046	A	03-31-2000		
		JP	11-339045	A	12-10-1999		
		JP	11-73569	A	03-16-1999		

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation ⁶

Examiner Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kind Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or follow the hyperlink from the title of the document to the intranet. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to indicate here if English language Translation is attached.



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STATEMENT UNDER 37 C.F.R. § 1.97(e)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned hereby states, upon information and belief:

That each item of information contained in the Information Disclosure Statement filed concurrently herewith was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of said Information Disclosure Statement, except for those indicated as previously cited.

Respectfully submitted,

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